

EXHIBIT 4

**THOMAS A. TRANFAGLIA JR**

CRD# 2245224

Currently employed by and registered with the following FINRA Firms:**JANE STREET MARKETS, LLC**

1 NEW YORK PLAZA

33RD FLOOR

NEW YORK, NY 10004

CRD# 104485

Registered with this firm since: 12/8/2009

Report Summary for this Broker

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by the broker, a previous employing brokerage firm, or a securities regulator on 11/30/2010.

Broker Qualifications**This broker is registered with:**

- 4 [Self-Regulatory Organizations](#)
- 1 U.S. state or territory

Is this broker currently suspended or inactive with any regulator? **No**

This broker has passed:

- 4 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration and Employment History

This broker was previously registered with the following FINRA member firms:

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**

CRD# 7691

NEW YORK, NY

05/2005 - 11/2009

**MERRILL LYNCH PROFESSIONAL CLEARING
CORP.**

CRD# 16139

NEW YORK, NY

06/1992 - 11/2009

For additional registration and employment history details as reported by the individual broker, refer to the Registration and Employment History section of this report.

**Disclosure of Customer Disputes,
Disciplinary, and Regulatory Events**

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? **No**